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10/082,235	02/26/2002	John B. Beavers	SYMC1024	3484

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GUNNISON, MCKAY & HODGSON, L.L.P.  
1900 GARDEN ROAD, SUITE 220  
MONTEREY, CA 93940

EXAMINER

PERUNGAVOOR, VENKATANARAY

ART UNIT PAPER NUMBER

2132

DATE MAILED: 08/11/2006

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**BEFORE THE BOARD OF PATENT APPEALS  
AND INTERFERENCES**

Application Number: 10/082,235  
Filing Date: February 26, 2002  
Appellant(s): BEAVERS, JOHN B.

**MAILED**  
AUG 11 2006  
Technology Center 2100

Serge Hodgson(Reg. No 40,017)  
For Appellant

**EXAMINER'S ANSWER**

This is in response to the appeal brief filed 6/5/2006 appealing from the Office action  
mailed 2/21/2006.

**(1) Real Party in Interest**

The assignee of the application, Symantec Corporation, is the real part in interest.

**(2) Related Appeals and Interferences**

The examiner is not aware of any related appeals, interferences, or judicial proceedings which will directly affect or be directly affected by or have a bearing on the Board's decision in the pending appeal.

**(3) Status of Claims**

The statement of the status of claims contained in the brief is correct.

**(4) Status of Amendments After Final**

The appellant's statement of the status of amendments after final rejection contained in the brief is correct.

**(5) Summary of Claimed Subject Matter**

The summary of claimed subject matter contained in the brief is correct.

**(6) Grounds of Rejection to be Reviewed on Appeal**

The appellant's statement of the grounds of rejection to be reviewed on appeal is correct.

**(7) Claims Appendix**

The copy of the appealed claims contained in the Appendix to the brief is correct.

**(8) Evidence Relied Upon**

### **(9) Grounds of Rejection**

The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(a) the invention was known or used by others in this country, or patented or described in a printed publication in this or a foreign country, before the invention thereof by the applicant for a patent.

Claims 1-2, 4-10, 12-26 are rejected under 35 U.S.C. 102(a) as being anticipated by U.S. Patent 6208720 B1 to Curtis et al.(hereinafter Curtis).

Regarding Claim 1, Curtis discloses the providing a number of alert indications containing information related to the incident see Fig. 4 item 408; comparing one or more alert indications to a set of rules and declaring a incident if a match is found see Fig. 4 item 424; comparing one or more alert indications to a decision table and remembering alert indication and comparing to a correlation data see Fig. 2 item 214-220; declaring an incident based on threshold value see Fig. 4 item 414-416.

Regarding Claim 2, Curtis discloses the defined default threshold value is level of severity in alert indications see Col 18 Ln 35-44.

Regarding Claim 3, 11, Curtis discloses the incident ticket for each incident having description of incident, a conclusion based on the incident, any actions responsive to the conclusion, a detail of the alert indications associated with the incident, tracking

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rules which identify one or more alert indications see Col 25 Ln 48-59 & Col 24 Ln 28-41 & Col 18 Ln 45-59.

Regarding Claim 4, Curtis discloses tracking further based on alert indications and associating tracking rules along with it see Col 22 Ln 65- Col 23 Ln 21 & Col 22 Ln 3-11.

Regarding Claim 5, Curtis discloses the associating step being performed after passing threshold value and table containing categories and alert codes see Col 18 Ln 13-29.

Regarding Claim 6, 21, Curtis discloses the updating of tracking rules see Col 19 Ln 23-40.

Regarding Claim 7, Curtis discloses the normalizing of alert information see Fig. 1 item 124.

Regarding Claim 8, 16, 20 Curtis discloses the plurality of devices supplying the alert indications see Col 7 Ln 1-20 & Fig. 3 item 152a-n.

Regarding Claim 9, Curtis discloses the default value being derived from a set of rules see Col 13 Ln 43-55.

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Regarding Claim 10, Curtis discloses the a decision table and set of correlation data that identifies patterns and declaring a incident if a match occurs see Col 10 Ln 24-30 & Col 9 Ln 45-53; a set of rules containing a number of queries and matching rules and inputted alert indications see Col 11 Ln 20-49; set of default standards specifying minimum value declare an incident see Col 18 Ln 44-59.

Regarding Claim 12, 19 Curtis discloses the filtering out inputted indication that don't meet threshold value and comparing information to rules see Col 18 Ln 13-35.

Regarding Claim 13-14, Curtis discloses the database storing declared incidents see Fig. 1 item 130.

Regarding Claim 15, Curtis discloses the linking users via global network see Fig. 1 item 102, 104, 106.

Regarding Claim 16, Curtis discloses the displaying of incidents see Col 11 Ln 39-49 & Fig. 3 item 152a-n.

Regarding Claim 17, Curtis discloses the combination of customized and default rules see Col 3 Ln 6-23.

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Regarding Claim 22, Curtis discloses the updating through human based observations see Col 11 Ln 31-38.

### **(10) Response to Argument**

Claims 1-2, 4-10, 12-26 are not novel over Curtis et al.(U.S Patent 6,208,720).

The Appellant's arguments regarding the incident ticket being displayed and the ticket itself including tracking rules being editable by a user viewing the ticket is not persuasive. As Curtis discloses the fraud data being collected and analyzed/processed(i.e. displayed) by the human analyst via workstations, and further the analyst initiating action see Col 11 Ln 50-59. And additionally, Curtis discloses the system including interfaces for performing actions in response detected fraud including issuing deactivation notifications see Col 11 Ln 20-30. The interfaces cited by Curtis includes presentation interface, e.g. graphical user interfaces see Col 11 Ln 39-49, further illustrating the displaying operation. Curtis discloses alerts and alarms(e.g. tracking identifiers/rules) being consolidated into cases Col 24 Ln 54-Col 25 Ln 5. These cases are further analyzed and subjected to parsing by thresholding rules see Col 10 Ln 12-30 and also scrutinized by human analysts via workstation and actions are taken accordingly see Col 26 Ln 19-23, which would include displaying the incident.

And Curtis discloses an threshold detector which operates based on threshold rules which are modifiable, i.e. editable, during run-time by the human analyst via workstation

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see Col 3 Ln 19-22 & Col 15 Ln 29-36. And further discloses the viewing of cases by an analyst and deciding a response and of executing an action based on command of the analyst see Col 28 Ln 26-55. Curtis also discloses the tracking rules including a measurement types to be monitored see Col 16 Ln 19-67 and for tracking where to find specified data see Col 15 Ln 37-53. Thus, Curtis' modification and edition of threshold rules by extension modifies and edits the alerts and alarms(e.g. tracking identifiers/rules).

Claims 10, 12-20 and 23, 24-26 are also unpatentable for the same reasons as Claim 1-2, 4-10, 12-26.

Furthermore, Curtis discloses the applying of threshold rules to detect fraud cases see Col 18 Ln 25-59 and further of comparing the values against an threshold and when it has been exceeded alerting the human analyst via workstation see Col 11 Ln 31-38. Curtis goes on to mention the database of rules being dynamically modified by an human analyst via workstation see Col 19 Ln 7-40.

Moreover, Curtis discloses the GUI being presented to the user of workstations see Col 11 Ln 43-49. It is commonly known in the art that GUI, graphical user interface, consists of displaying or presenting of data which includes an menu. And additionally, Curtis discloses the human analysts via workstation being able to generate an response to an alert and altering of alerts and rules see Col 11 Ln 60-Col 12 Ln 9.



In conclusion, Curtis anticipates the recited limitations present in the claims. And the arguments presented by the Appellant are not persuasive, in view of Curtis, thus rejections should be upheld.

**(11) Related Proceeding(s) Appendix**

No decision rendered by a court or the Board is identified by the examiner in the Related Appeals and Interferences section of this examiner's answer.

For the above reasons, it is believed that the rejections should be sustained.

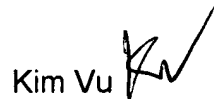
Respectfully submitted,



Venkat Perungavoor

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Conferees:



Kim Vu

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Christopher Revak



KIM VC  
SUPERVISORY PATENT EXAMINER  
TECHNOLOGY CENTER 2100